Case 3:07-cv-02917-MJJ Document 1-2 Filed 06/05/2007 Page 1 of 46

EXHIBIT A

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue.

See Instruction 1(b).

UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

OMB APPROVAL
OMB Number: 3235-0287
Expires: September 30, 1998
Estimated average burden
hours per response 0.5

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

Rickey, Daviel M Applied Micro Circuits Corp (AMCC) X Director Corp (AMC) Director Corp (AMC) X Director Corp (AMC) Director Corp (AMC) X Director Corp (AMC) Director Co	1. Name and Address of Reporting Person*		2. Issuer	Vame and	Ticker	2. Issuer Name and Ticker or Trading Symbol 6.	10	6. Rel	6. Relationship of Reporting Person(s) to Issuer	g Person(s) to	Issuer
State	Rickey, David M		Applied	Micro C	ircuits	Corp (AMCC)			(Check all	(Check all applicable)	10% Owner
State Stat		(Middle)	3. I.R.S. I. Numbe Person,	dentificati r of Repor if an entit	on rting ty	4. Statement for Month/Year			X Officer (give title below) COB and CEO		Other (specify below)
State C2tp Table I - Non-Derivative Securities Acquired, Disposed and Code (Instr. 8) Amount (D) Price (Instr. 8) Pr	(Street) PHONE: 858-535-3462 FAX: 858-535-356	002	(Voluni	(ary)		5. If Amendmen Date of Origin (Month/Year)	nt, nal	7. Indi	7. Individual or Joint/Group Filing (Check Applicable Line) X. Form filed by One Reporting Person Form filed by More than One Reporting Person	Filing (Chec eporting Perso	k Applicable L n rting Person
2. Trans- 3. Trans- action action bate Code (Instr. 3, 4 and 5) (Monthy Day) Year) 04/08/02 M 04/08/02 M 2.821 A 2.821 A 2.821 A 2.95313 04/08/02 M 2.667 A 5. Amount Obyroced of (D) 6. Obyroced of (D) 7. Amount Obyroced of (D) 8. Ob		(Zip)		Table	I - No	n-Derivative S	ecurities A	equired, Dispo	sed of, or Beneficia	ally Owned	b
Day/Year) Code V Amount (A) or Price (Instr. 3 and 104/08/02 M 2.821 A 32.95313 and 104/08/02 M 2.6667 A 56.48438 and 10.616 and 10.	1. Title of Security (Instr. 3)		2. Trans- action Date (Month/		8)	Securities Acqui or Disposed of (Instr. 3, 4 and 5	ired (A) D)		5. Amount of Securities Beneficially Owned at End of Month	6. Owner- ship Form: Direct	7. Nature of Indirect Beneficial Ownership
04/08/02 M 2,821 A \$2.95313 04/08/02 M 10,512 A \$2.95313 04/08/02 M 26,667 A \$6.48438			Day/ Year)	Code	>	Amount	(A) or (D)	Price	(Instr. 3 and 4)	(E) Indirect (I) (Instr. 4)	(Instr. 4)
04/08/02 M 2,821 A 52.95313 04/08/02 M 10,512 A 52.95313 04/08/02 M 26,667 A 56.48438	Common Stock								5,371	Q	
04/08/02 M 26,667 A 52.95313 04/08/02 M 26,667 A 56.48438 04/08/02 M 26,667 A 56.48438	Common Stock		04/08/02	Σ		2,821	A A	\$2.95313		_	by Family Trust
316519 31651918 31651918	Common Stock		04/08/02	M		10,512	A	\$2.95313		-	by Family Trust
	Common Stock		04/08/02	Σ		26,667	V	\$6.48438	1,235,567	_	by Family Trust
31651909	Соттоп Stock								7,585	_	by Spouse
651909								31		HECFIVED.	
								651909 		e e	
										165	

(Over) Page 1 of 3 pages SEC 1474 (7-97) Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

FORM 4 (continued)

Page 2 of 3 pages

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

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(Instr. 3)	2. Conver- 3. sion or Exercise Price of Derivative Devive Security Y	3. Trans- action Date (Month/ Day/ Year)	4. Transaction Code (Instr. 8)	(8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	Derivies ies) or (D) and 5)	6. Date Exercisable and Expiration (Month/Day Year)	Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	rities	8. Price of Derivative Security	9. Number of derivative Securities Bene-	10. Owner- 11. Nature ship of Form of Indirect Derive ative cial Security: Owner- Direct ship	of Indirect Benefi- cial Owner-
			Code			(Date Exer- cisable	Expíra- tíon Date	Title	Amount or Number of Shares	5)	Owned at End of Month (Instr. 4)	(D) or Indirect (I) (Instr. 4)	(Instr. 4)
Incentive Stock Option (right to buy)	\$2.95313	04/08/02				2,821	(E)	03/27/08	03/27/08 Common Stock	2,821		0	a	
Non-Qualified Stock Option (right to buy)	\$2.95313	04/08/02	Σ			10,512	ε	03/27/08	03/27/08 Common Stock	10,512		0	Q	
Non-Qualified Stock Option (right to buy)	\$6.48438 0	04/08/02	Σ			26,667	(2)	04/23/09	04/23/09 Common Stock	26,667		320,000	۵	
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Explanation of Responses:													-	

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

s/David M. Rickey

**Signature of Reporting Person

5/3/02

Applied Micro Circuits Corp (AMCC) April 2002

San Digo, CA. 92121 PHONE: 858-535-3462 FAX: 858-535-3502

Rickey, David M 6290 Sequence Drive

Option vests in 48 equal monthly installments beginning on April 30, 1998. Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

Expires: September 30, 1998 Estimated average burden 3235-0287 OMB APPROVAL OMB Number:

hours per response . . .

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Form 5 obligations may continue. subject to Section 16. Form 4 or Check this box if no longer

See Instruction 1(b).

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

(Print or Type Responses) Holding C	ompany Act of 19	1935 or Section	Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1936 or Section 30(f) of the Investment Company Act of 1935 or Section 30(f) of the Investment Company Act of 1935 or Section 30(f) of the Investment Company Act of 1941 or 194	t, Section 17(a) of the Public U	Itility		
1. Name and Address of Reporting Person*	2. Issuer	Name and Tick	2. Issuer Name and Ticker or Trading Symbol	bol	6. Rel	6. Relationship of Reporting Person(s) to Issuer	ng Person(s) to	Issuer
Rickey, David M	Appli	ed Micro Circui	Applied Micro Circuits Com (AMCC)			(Check al	(Check all applicable)	0 200
(Last) (First) (Middle) 6290 Sequence Drive	3. I.R.S.	3. I.R.S. Identification	4. Statement for			X Officer (give title belo		Other
San Diego, CA. 92121	Person	Person, if an entity	Monuty rear		COI	COB and CEO		(specify below)
(Street)	nloV)	(Voluntary)	March 2002		31	CORPORATE		
PHONE: 858-535-3462 FAX: 858-535-3502			5. If Amendment, Date of Original (Month/Year)	nt, nal)	7. Indi	7. Individual or Joint/Group Filing (Check Applicable Line) X. Form filed by One Reporting Person Form filed by More than One Reporting Description	p Filing (Check eporting Perso	c Applicable Line) n
(City) (State) (Zip)		Table I - P	Von-Derivative	Securities A	cquired, Dispo	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	ally Owned	1000
1. Title of Security	2. Trans-	3. Trans-	4 Securities Acquired (A)	(A) Posi				
(Instr. 3)	action Date	action Code (Instr 8)	or Disposed of (D) (Instr. 3, 4 and 5)	(A) (D) (O)		5. Amount of Securities Beneficially	6. Owner- ship Form:	7. Nature of Indirect Beneficial
	(Month/	(0.000)		i		Owned at Fnd of Month	Direct	Owner-
	Day/ Year)	Code	Amount	(A) or		(Instr. 3 and 4)	(D) of Indirect (I)	dius
Common Stock			IIII		Frice	5.371	(Instr. 4)	(Instr. 4)
Common Stock	50,70,60							
	03/04/02	Σ	2,821	∢	\$2.95313		П	by Family Trust
Common Stock	03/04/02	M	10,513	T V	\$2.95313			by Family Trust
Common Stock	03/04/02	Σ	26,666	V V	\$6.48438	1,195,567	I	by Family Trust
Common Stock						7.585	\$P	by Sponso
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 1 of 3 pages SEC 1474 (7-97)

FORM 4 (continued)

Title of Derivative Commit.	(
(Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Irans- action Date (Month/ Day/ Year)	4. Trans- action Code (Instr. 8)	<u>~</u>	Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration D (Month/Day/Year)	Date //	7. Title and Amount of Underlying Securities (Instr. 3 and 4)		8. Price of of Derivative Security	9. Number of derivative ative Securities Benefically		11. Nature of Indirect Beneficial Ownership
						Date	Expira-		Amount	5)	Owned at End of	(D) or Indirect (I)	(Instr. 4)
			Code V	(A)	(<u>Q</u>)	υ	tion Date	Title	Number of Shares	······································	Month (Instr. 4)	(Instr. 4)	
Incentive Stock Option (right to buy)	\$2.95313	03/04/02	Σ		2,821	ε)3/27/08 C	03/27/08 Common Stock	2,821		2,821	a	
Non-Qualified Stock Option (right to buy)		\$2.95313 03/04/02	Σ		10,513	(0))3/27/08 C	03/27/08 Common Stock	10,513		10,512	Q	
Non-Qualified Stock Option (right to buy)	\$6.48438	03/04/02	W		26,666	9	14/23/09 C	04/23/09 Common Stock	26,666		346,667	a	
Hynlanation of Dames							-						

Explanation of Responses:

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

**Signature of Reporting Person s/David M. Rickey

Page 2 of 3 pages

SEC 1474 (7-97)

PHONE: 858-535-3462 FAX: 858-535-3502 6290 Sequence Drive San Diego, CA. 92121

Rickey, David M

- Option vests in 48 equal monthly installments beginning on April 30, 1998.
- Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

hours per response 0.5 Expires: September 30, 1998 Estimated average burden

3235-0287

OMB Number:

OMB APPROVAL

Form 5 obligations may continue. Check this box if no longer subject to Section 16. Form 4 or

See Instruction 1(b).

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

	Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940	1935 or Section 3	Act of 1935 or Section 30(f) of the Investment Company Act of 1940	nent Compan	/ Act of 1940	, court		
 Name and Address of Reporting Person* 	2. Issuer	Name and Ticke	2. Issuer Name and Ticker or Trading Symbol	pol	6. Rel	6. Relationship of Reporting Person(s) to Issuer	g Person(s) to	Issuer
Rickey, David M	Applie	ed Micro Circuit	Annlied Micro Circuite Com (AMCC)		***************************************	(Check al	(Check all applicable)	
(Last) (First) (N	(Middle) 3 1D c	I D o Identification	S COLD (AIMICE)]	X Director		10% Owner
	i	Number of Reporting	4. Statement for Month/Year	S -m-	1 5	(give title below)		Other (specify below)
(Street)	(Volu	reison, ii an entity (Voluntary)	February 2002	02	<u>ଆ</u>	CORPORATE		
PHONE: 858-535-3462 FAX: 858-535-3502			5. If Amendment, Date of Original (Month/Year)	nt, inal)	7. Ind X	X. Form filed by One Reporting Check Applicable Line)	p Filing (Chec eporting Perso	k Applicable Line
(City) (State) (Z	(Zip)	Table I	Domination of		_	roini ineu oy More Inan One Reporting Person	inan One Kepo	orting Person
. Title of Security		-	on-Derivanve	securities A	equired, Dispo	Addit 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	ally Owned	
(Instr. 3)	2. Trans-	3. Trans- action	 Securities Acquired (A) or Disposed of (D) 	iired (A) (D)		5. Amount of	6. Owner-	7. Nature of
	Date (Month/	Code (Instr. 8)	(Instr. 3, 4 and 5)) ()		Beneficially Owned at	snip Form: Direct	Indirect Beneficial Owner-
	Day/ Year)	2		(A) or		(Instr. 3 and 4)	(D) or Indirect (I)	ship
Common Stock		-	Afflouin	(n)	Price	178.5	(Instr. 4)	(Instr. 4)
Common Stock	02/04/02	Σ	2.820	4	21230 63	Total Control	٠ .	
Common Stock					61.007.30			by Family Trust
Sign of the state	02/04/02	Σ	10,512	¥	\$2.95313		_	by Family Trust
Common Stock	02/04/02	W	26,667	V	\$6.48438	1,155,567) m	by Family Trust
Common Stock						7, 7,585	-	by Spouse
						Waeceived		
						MAD 1 1 2002		316
								1734
						\$ 354 AC		12
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 1 of 3 pages SEC 1474 (7-97)

S/ David M. Rickey
**Signature of Reporting Person

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FORM 4 (coatinued)

			(e.g. puts,	uts, ca	ills, warra	calls, warrants, options, convertible securities)	ns, conv	ertible s	ecurities)					
1. Title of Derivative Security	2. Conver-	77	4. Trans-		5. Number of Deriv-	f Deriv-	6. Date Exer-	ker-	7. Title and Amount of	Jo	8. Price	9. Number	10 Owner- 11 Nature	Nature
(Instr. 3)	Sion or	action	action		ative Securities	rities	cisable and	and	Underlying Secur	ities	Jo		ship	of
	Exercise Price of		(Instr. 8)		Acquired (A) or Disposed of (D)	(A) or	Expirat (Month	Expiration Date	(Instr. 3 and 4)		Deriv-	ative	Form of	Indirect
	Deri- vative Security	(Month/ Day/ Year)		`	(Instr. 3, 4, and 5)	, and 5)	Year)	Cay			Secur- ity	secur- ities Bene-	ative Security:	cial Owner-
					_		Date	Expira-		Amountor	(Illisti. 5)	Owned at End of	(D) or Indirect	(Instr. 4)
			Code	>	(§)	(Q)	<u>د</u>	tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	**************************************
Incentive Stock Option (right to buy)	\$2.95313	02/04/02	Æ			2,820	Θ	03/27/08	03/27/08 Common Stock	2,820		5,642	a	
Non-Qualified Stock Option (right to buy)	\$2.95313	02/04/02	M			10,512	€	03/27/08	03/27/08 Common Stock	10,512		21,025	Q	
Non-Qualified Stock Option (right to buy)		\$6.48438 02/04/02	Σ			26,667	(2)	04/23/09	04/23/09 Common Stock	26,667		373,333	۵	
-														
Explanation of Responses:														

Explanation of Responses:

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Rickey, David M 6299 Sequence Drive San Diego, CA. 92121 PHONE: 858-535-3462 FAX: 858-535-3502

Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter. Option vests in 48 equal monthly installments beginning on April 30, 1998. € €

FORM 4

Form 5 obligations may continue.

Print or Type Responses)

See Instruction 1(b).

subject to Section 16. Form 4 or Cháck this box if no longer

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

hours per response 0.5 Expires: September 30, 1998 3235-0287 Estimated average burden OMB APPROVAL OMB Number:

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

6. Relationship of Reporting Person(s) to Issuer

6. Relationship of Reporting Person(s) to Issuer

Check all applicable)

COB and CEO

CORPORATE

7. Individual or Joint/Group Filling (Check Applicable Line)

X. Form filed by More than One Reporting Person

Form filed by More than One Reporting Person by Family Trusto Page 11 of 46 Document 1-2 Nature of Beneficial Indirect (Instr. 4) 31570553 Owner-Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Instr. 4) (D) or Indirect Ownership Form: Direct Ą. 7,585 5,371 1,115,568 2002 (Instr. 3 and 4) End of Month Beneficially RCC.NED < Amount of Securities Owned at 0 8 250 00 \$2.95313 \$2.95313 \$6.48438 Price 4. Securities Acquired (A) (A) or (D) ≺ ≺ ≺ 2. Issuer Name and Ticker or Trading Symbol Date of Original (Month/Year) or Disposed of (D) If Amendment. (Instr. 3, 4 and 5) January 2002 4. Statement for Applied Micro Circuits Corp (AMCC) Month/Year 10,513 26,667 2,821 Amount Number of Reporting 3. I.R.S. Identification > Person, if an entity (Instr. 8) action Trans-Code Code Σ Σ Σ (Voluntary) 2. Transaction (Month/ 01/07/02 01/0/10 01/07/02 Date Day/ Year) (Middle) (Zip) PHONE: 858-535-3462 FAX: 858-535-3502 Name and Address of Reporting Person⁴ (Street) (First) (State) 6290 Sequence Drive San Diego, CA. 92121 Rickey, David M 1. Title of Security Common Stock Common Stock Common Stock Common Stock Common Stock (Instr. 3) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction**(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Page 1 of 3 pages SEC 1474 (7-5

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

			(e.g. purs,	ls, calls, W	calls, Warrants, options, convertible securities)	ons, conv	ertible s	ecurities)					
1. Title of Berivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans- action Date (Month/ Day/ Year)	4. Transaction action Code (Instr. 8)	5.	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration D (Month/Day/Year)	Date y/	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	10	8. Price of Derivative Security	9. Number of derivative Securities Benefically	10. Owner- leship Form of Derivative Security:	11. Nature of Indirect Beneficial Owner® ship
						Date	Expira-		A tanoar	<u>(</u> S	Owned at End of	(D) or Indirect (I)	(Instr. 2:07
		:	Code	(A)	<u>Q</u>	Exer- cisable	tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	-cv-C
Incentive Stock Option (right to buy)	\$2.95313	01/0/102	Σ		2,821	€	03/27/08	03/27/08 Common Stock	2,821		8,462	a	2917
Non-Qualified Stock Option (right to buy)	\$2.95313	01/07/02	Σ		10,513	(1)	03/27/08	Common Stock	10,513		31,537	a	7 ₇ MJ
Non-Qualified Stock Option (right to buy)	\$6.48438	01/07/02	M		26,667	(2)	04/23/09	Common Stock	26,667		400,000	a	J
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Explanation of Responses:										-			2007

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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required to respond unless the form displays a currently valid OMB Number.

SEC 1474 (7-97

**Signature of Reporting Person Da M Mul

Page 12 of 46

Page 2 of 3 pages

Applied Micro Circuits Corp (AMCC) January 2002

6290 Şequénce Drive San Diego, CA. 92121 PHONE: 888-535-3462 FAX: 858-535-3502 Rickey, David M

- Option vests in 48 equal monthly installments beginning on April 30, 1998.
- The end of period holdings includes 1,461 shares acquired under the AMCC 1998 Employee Stock Purchase Plan in January of 2002. Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

€ 8 .

Form 5 obligations may continue. subject to Section 16. Form 4 or Check this box if no longer See Instruction 1(b).

(Print or Type Responses)

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility

hours per response 0.5 Expires: September 30, 1998

Estimated average burden

3235-0287

OMB Number:

OMB APPROVAL

Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

	2. Issuer Nar	ne and 110	 Issuer Ivame and Ticker or Trading Symbol 	pol	6. Rel	tionship of Reportin	g Person(s) to	Issuer
Rickey, David M	Annlied	المتان ويتوا	Applied Mione Cinemits Come (1980)		×		applicable)	(
(Last) (First) (Middle)	3. I.R.S. Identification	ntification	14. Statement for	1	17	V Officer		10% Owner Other
San Diego, CA. 92121	Number of Reporting Person, if an entity	f Reporting an entity			COB	COB and CEO		(specify below)
(Street)	(Voluntar	·		001	COR	CORPORATE		
PHONE: 858-535-3462 FAX: 858-535-3502			5. If Amendment, Date of Original (Month/Year)	nt, inal	7. Indi	7. Individual or Joint/Group Filing (Check Applicable L X. Form filed by One Reporting Person Form filed by More than One Benediction	Filing (Checeporting Person	(Check Applicable Line) Person
(City) (State) (Zip)		Table I -	Non-Derivative Sec	Securities A	cquired, Dispos	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	ally Owned	orning retson
(Instr. 3)	2. Trans- 3. action Date	3. Transaction	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	iired (A) (D) S)		5. Amount of Securities Beneficially	6. Owner- ship Form:	7. Nature of Indirect
	(Month/	(Instr. 8)				Owned at End of Month	Direct	Owner-
	Day/ Year)	Code	Amount	(A) or (D)	Price	(Instr. 3 and 4)	(D) of Indirect (I)	dine () test
Common Stock						5,371	D	(mem. 7)
Соттоп Stock	11/12/01	W	5,642	4	\$2.95313		-	by Family Trust
Common Stock	11/12/01	Σ	21,025	<	\$2.95313		-	by Family Trust
Common Stock	11/12/01		53,334	4	\$6.48438		1	by Family Trust
Common Stock	11/30/01	 	301	V		1,034,107	-	by Family Trust
Common Stock						104	-	
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Reminder: Renort on a senarate line for each place of the control								5360

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(eg. puts, calls, warrants, options, convertible securities)

			.0.	()	(-8. Feed) carred many opinions, conver unite securities)	s, optio	IIS, COLIVE	er unie si	ecurities)					
Title of Derivative Security (firstr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans- action Date (Month/ Day/ Year)	4. Transaction action Code (Instr. 8)	8) 8	Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		6. Date Exercisable and Expiration D (Month/Day/Year)	Date y/	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	of tties	8. Price of Derivative Security	<u></u>	10. Owner- 11. Nature ship of Form of Indirect Derive cial Security: Owner- Direct ship	1. Nature of Indirect Benefi- cial Owner-
							Date	Expira-		Amount or	5)	Owned at End of	(D) or Indirect (I)	(Instr. 4)
			Code	>	(A)	(a)	Exer- t	tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	
Incentive Stock Option (right to buy)	\$2.95313	11/12/01	M			5,642	(2)	03/27/08	03/27/08 Common Stock	5,642		14,104	a	
Non-Qualified Stock Option (right to buy)	\$2.95313	11/12/01	Σ			21,025	(2)	03/27/08	03/27/08 Common Stock	21,025		52,562	۵	
Non-Qualified Stock Option (right to buy)	\$6.48438	11/12/01	Σ			53,334	(3)	04/23/09 (04/23/09 Common Stock	53,334		453,333	Q	
Non-Qualified Stock Option (right to buy)	\$14.62000	11/27/01	a	>	•	400,000	£	97/11/11 (07/11/11 Common Stock	400,000	(5)	0	٥	
Non-Qualified Stock Option (right to buy)	\$35.98450 11/27/01	11/22/101	a	>	4,1	4,000,000	4	01/61/10	01/19/10 Common Stock	4,000,000	9	0	a	
Non-Qualified Stock Option (right to buy)	\$53.87500 11/27/01	11/27/01	a	>	~	800,000	(4)	2/21/10	12/21/10 Common Stock	800,000	3	0	a	
									,					
														
Day Landing								1						_

Explanation of Responses:

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

La M Mur

**Signature of Reporting/Person

Date

Page 2 of 3 pages

SEC 1474 (7-97)

Applied Micro Circuits Corp (AMCC)

November 2001

- Receipt of shares in a pro rata liquidating distribution from Tectonic Fund LP, a limited partnership of which the reporting person was a limited partner. The reporting person did not have or exercise control over the general partner of the limited partnership or investment control over the limited partnership's portfolio transactions. Ξ
 - Option vests in 48 equal monthly installments beginning on April 30, 1998. **3 € € 6**
- Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
 - The option provided for vesting at 1/48 per month beginning on the date of grant.
- On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on July 11, 2001. In exchange, the
 - reporting person will receive a replacement option on May 28, 2002. 9
- On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on January 19, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002.
 - On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on December 21, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002. 6

FORM 4

Form 5 obligations may continue.

See Instruction 1(b).

subject to Section 16. Form 4 or Check this box if no longer

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

hours per response 0.5 Expires: September 30, 1998 3235-0287 Estimated average burden OMB APPROVAL OMB Number:

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

Case 3:07-cv. O291 Document 1-2

Beneficial Mounts
Owner-ship by Family Tru/90 by Family Tru-7. Individual or Joint/Group Filing (Check Applicable Line)

X. Form filed by One Reporting Person

Form filed by More than One Reporting Person Filed Trib Page 17 of 46 (Instr. 4) by Spouse 31544722 6. Relationship of Reporting Person(s) to Issuer Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Check all applicable) Instr. 4) (D) or Indirect 6. Owner Direct ship Form: COB and CEO 1,073,805 7,585 5,371 (Instr. 3 and 4) End of Month Beneficially Director Amount of Officer Securities Owned at CORPORATE \$2.95313 \$2.95313 \$6.48438 Price 4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5) ò 30 ≺ ≺ Date of Original (Month/Year) 2. Issuer Name and Ticker or Trading Symbol December 2001 5. If Amendment, 4. Statement for Applied Micro Circuits Corp (AMCC) Month/Year 10,512 26,666 2,821 Amount Number of Reporting 3. I.R.S. Identification > Person, if an entity (Voluntary) 8 Trans-(Instr. action Code Code Σ Σ Σ Trans-(Month/ action 12/02/01 12/05/01 12/02/01 Date Day/ Year) (Middlb) (Zip) JAN 1 0 2002 (Street) A GENTOSIL 4 PHONE: 858-535-3462 FAX: 858-535-3502 Name and Address of Reporting Person* (First) (State) (Print or Type Responses) (Last) 6290 Sequence Drive San Diego, CA. 92121 Rickey, David M 1. Title of Security Common Stock Common Stock Common Stock Common Stock Common Stock (Instr. 3) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Page 1 of 3 pages SEC 1474 (7

FORM 4 (continued)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(e.g. puts, calls, warrants, options, convertible securities)

			(e.g. pi	uts, ca	lls, warra	ınts, optic	ons, conv	ertible	(e.g. puts, calls, warrants, options, convertible securities)					
1. The of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans- action Date (Month/ Day/ Year)	4. Transaction Code (Instr. 8)	8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	f Derivrities (A) or of (D) (A), and 5)	6. Date Exercisable and Expiration D (Month/Day)	Date Exer- cisable and Expiration Date (Month/Day/ Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	t of rities	8. Price of Derivative Security	0	10. Owner- 11. Nature ship of Form of Derive cial Security: Owner Ship	II. Naturn of Indirect Benefit Complete Own Ship
			Code	>	´&	(Date Exer- cisable	Expira- tion Date	Title	Amount or Number of Shares	5)	Owned at End of Month (Instr. 4)	(D) or Indirect (I) (Instr. 4)	3:07-cv-02
Incentive Stock Option (right to buy)	\$2.95313	12/02/01	Σ	 		2,821	5	03/27/08	03/27/08 Common Stock	2,821		11,283	a	2917
Non-Qualified Stock Option (right to buy)	\$2.95313	12/02/01	Σ			10,512	€	03/27/08	03/27/08 Common Stock	10,512		42,050	Q	-MJJ
Non-Qualified Stock Option (right to buy)	\$6.48438	12/02/01	Σ			26,666	(2)	04/23/09	04/23/09 Common Stock	26,666		426,667	Q	
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Explanation of Responses:														07

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

1/9/02 s/David M. Rickey
**Signature of Reporting Person

Page 18 of 46

Page 2 of 3 pages

SEC 1474 (7-9

Applied Micro Circuits Corp (AMCC) December 2001

2g. Drego, CA. 92121 PHONE: 858-535-3462 FAX: 858-535-3502 6290 Sequence Drive Rickey, David M

- Option vests in 48 equal monthly installments beginning on April 30, 1998.
- Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

3 3

Form 5 obligations may continue.

(Print or Type Responses)

See Instruction 1(b).

subject to Section 16. Form 4 or Check this box if no longer

UNITED STATES SECURITIES AND EXCHANGE COMMESTIGNED

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

hours per response 0.5

Expires: September 30, 1998

Estimated average burden

3235-0287

OMB Number:

OMB APPROVAL

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) he stand

JA 940 Holding Company Act of 1935 or Section 30(f) of the Investment Company A&

COB and CEO

Corrected and applicable)

Control

Control Page 20 of 46 by Family Tru/OQ/O2/VH/C by Family True Pocument 1-2 Beneficial Nature of Owner-(Instr. 4) Indirect by Spouse Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Instr. 4) (D) or Indirect Owner-Direct Form: 5,371 7,585 1,034,107 (Instr. 3 and 4) End of Month 5. Amount of Securities Beneficially Owned at \$2.95313 \$2.95313 \$6.48438 Price (A) or (D) 4. Securities Acquired (A) ₹ ∢ 2. Issuer Name and Ticker or Trading Symbol November 2001 Date of Original (Month/Year) or Disposed of (D) December 2001 If Amendment, (Instr. 3, 4 and 5) 4. Statement for Applied Micro Circuits Corp (AMCC) 5,642 21,025 53,334 Month/Year 301 Amount Number of Reporting 3. I.R.S. Identification > 8 Person, if an entity (Voluntary) action (Instr. 3. Trans-Code Code Σ Σ Σ (Month/ Day/ Year) Transaction Date 11/12/0] 11/12/01 11/12/01 11/30/01 (Middle) (Zip) PHONE: 858-535-3462 FAX: 858-535-3502 1. Name and Address of Reporting Person (Street) (First) (State) San Diego, CA. 92121 6290 Sequence Drive Rickey, David M 1. Title of Security Common Stock Common Stock Common Stock Common Stock Common Stock Common Stock (Instr. 3) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Page 1 of 3 pages SEC 147477

FORM 4 (continued)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(eg. puts, calls, warrants, options, convertible securities)

7			. J .O\		of the securities, opinions, convertible securities)	ons, com	eruble s	ecurities)					
(Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans- action Date (Month/ Day/ Year)	4. Trans- action Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration (Month/Da Year)	Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	t of rities	8. Price of Derivative Security	1 - 1	10. Owner- 111. Nature ship of Form of Indirect Deriv- Benefic ative cial property: Owner Owner Ship of the Ship o	II. Nature of Indirect Benefic Owners Ship
						Date	Pynira.			5)	Owned at End of	(D) or Indirect	3;07-
			V boo	(X	(D)	Exer- cisable	tion Date	Title	Amount or Number of Shares		Month (Instr. 4)	(Instr. 4)	cv-02
Incentive Stock Option (right to buy)	\$2.95313	11/12/01	M		5,642	(2)	03/27/08	03/27/08 Common Stock	5,642		14,104	a	2917
Non-Qualified Stock Option (right to buy)	\$2.95313	11/12/01	Σ		21,025		03/27/08	03/27/08 Common Stock	21,025		52,562	ď	-MJ
Non-Qualified Stock Option (right to buy)	\$6.48438	11/12/01	Σ		53,334		04/23/09	04/23/09 Common Stock	53,334		453,333	a	
Non-Qualified Stock Option (right to buy)	\$14.62000 11/27/01	11/27/01	O O		400,000		07/11/11	07/11/11 Common Stock	400,000		0	Q	Docu
Non-Qualified Stock Option (right to buy)	\$35.98450	11/27/01	A Q		4,000,000	9	01/61/10	01/19/10 Common Stock	4,000,000	<u>©</u>	0	Q	mer
Non-Qualified Stock Option (right to buy)	\$53.87500	11/27/01	O O		800,000	£ 4	12/21/10	12/21/10 Common Stock	800,000	(9)	0	a	nt 1-2
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Explanation of Responses:													00

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See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

**Signature of Reporting Person (a) M huh

Page 21 of 46

Date

SEC 1474 (7-97 Page 2 of 3 pages

Applied Micro Circuits Corp (AMCC)

November 2001

PHONE: 858-535-3462 FAX: 858-535-3502 San Diggo, CA. 92121 6290 Sequence Drive Rickey, David M

Receipt of shares in a pro rata liquidating distribution from Tectonic Fund LP, a limited partnership of which the reporting person was a limited partner. The reporting person did not have or exercise control over the general partner of the limited partnership or investment control over the limited partnership's portfolio transactions. Ξ

Option vests in 48 equal monthly installments beginning on April 30, 1998. 3 6 6 6

Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

The option provided for vesting at 1/48 per month beginning on the date of grant.

On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on July 11, 2001. In exchange, the reporting person will receive a replacement option on May 28, 2002.

On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on January 19, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002. 9 9

On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on December 21, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002.

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

3235-0287

OMB Number:

OMB APPROVAL

Expires: September 30, 1998

Estimated average burden

hours per response

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Form 5 obligations may continue.

(Print or Type Responses)

See Instruction I(b).

subject to Section 16. Form 4 or Check this box if no longer

FORM 4

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

7. Individual or Joint/Group Filing (Check Applicable Line) by Family Trus by Family Trus by Family Trus (specify below) Beneficial Nature of Form filed by More than One Reporting Person (Instr. 4) 10% Owner Indirect Ownerby Spouse 31529297 6. Relationship of Reporting Person(s) to Issuer Other X_Form filed by One Reporting Person Table 1 - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Check all applicable) (Instr. 4) Indirect 6. Owner Direct (D) or ship Form: (give title below) COB, President and CEO 7,585 1,033,806 5,371 (Instr. 3 and 4) End of Month Beneficially Director Amount of Officer Securities Owned at CORPORATE S. \$2.95313 \$2.95313 \$6.48438 Price (A) of (D) of 4. Securities Acquired (A) ₹ ⋖ November 2001 or Disposed of (D) 2. Issuer Name and Ticker or Trading Symbol Date of Original (Month/Year) If Amendment, (Instr. 3, 4 and 5) 4. Statement for 5,642 21,025 Applied Micro Circuits Corp (AMCC) 53,334 Month/Year Amount Number of Reporting 3. I.R.S. Identification > Instr. 8) Person, if an entity Transaction Code Code Σ Σ Σ (Voluntary) Trans-(Month/ action 11/12/01 11/12/01 11/12/0] Date Day/ Year) (Middle) (Zip) 9 m 20001 MISSENED MISSENED PHONE: 858-535-3462 FAX: 858-535-3502 FES. 1. Name and Address of Reporting Person* (Street) (First) (State) (Last) 6290 Sequence Drive San Diego, CA. 92121 Rickey, David M 1. Title of Security Common Stock Common Stock Common Stock Common Stock Common Stock (Instr. 3) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Page 1 of 3 pages SEC 1474 (7-97) (Over)

· FORM 4 (continued)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (eg. puts, calls, warrants, options, convertible securities)

				(call in a call of cal	carrie anno force	com most			
Derivative Security	2. Conver-	3. Trans-	Trans- 4. Trans-	5 Number of Deriv.	6 Data Byer		. 4	;	
•	20.0	ootio.			o. Date Evel-		8. Рпсе	8. Price 9. Number 10. Own	10. Own
	50 11016	action	action	ative Securities	cisable and	Underlying Securities	,	of doring	.!.
		ć				common ding common	5	-A1120 10	

			;			I- (cem mes)					
1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Trans- action Date (Month/ Day/ Year)	4. Transaction action Code (Instr. 8)		5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		6. Date Exercisable and Expiration Di (Month/Day/Year)	Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	of ties	8. Price of Derivative Security	F 1	1 6 6 22	11. Nature of Indirect Benefi- cial Owner-
							Date	Expira-		Amount or	5)	Owned at End of	(D) or Indirect (I)	(Instr. 4)
			Code	>	(A)	(D)	Exer- cisable	tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	,
Incentive Stock Option (right to buy)		\$2.95313 11/12/01	M			5,642	ε	03/27/08	03/27/08 Common Stock	5,642		14,104	a	
Non-Qualified Stock Option (right to huy)	\$2.95313	11/12/01	M			21,025	9	03/27/08	03/27/08 Common Stock	21,025		52,562	G	
Non-Qualified Stock Option (right to buy)		\$6.48438 11/12/01	M			53,334	(2)	04/23/09	04/23/09 Common Stock	53,334		453,333	a	
Non-Qualified Stock Option (right to buy)	\$14.62000	11/27/11	a	٨		400,000	(3)	07/11/11	07/11/11 Common Stock	400,000	4	0	<u> </u> =	
Non-Qualified Stock Option (right to buy)	\$35.98450	11/27/01	Q	Λ	4	4,000,000		01/61/10	01/19/10 Common Stock	4,000,000	9	0	a	
Non-Qualified Stock Option (right to buy)	\$53.87500	11/27/01	D	>		800,000		12/21/10	12/21/10 Common Stock	800,000	9	0	a	
Explanation of Demonces.														

Explanation of Responses:

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

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/s/ David M. Rickey
**Signature of Reporting Person

Page 2 of 3 pages

Page 2

SEC 1474 (7-97)

Option vests in 48 equal monthly installments beginning on April 30, 1998. \in

PHONE: 858-535-3462 FAX: 858-535-3502

San Diego, CA. 92121 6290 Sequence Drive Rivicey, David M

- Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
 - The option provided for vesting at 1/48 per month beginning on the date of grant.
- On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on July 11, 2001. In exchange, the reporting person will receive a replacement option on May 28, 2002. 3 € €
- On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on January 19, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002. <u>©</u>
 - On November 27, 2001, the reporting person tendered to the issuer, for cancellation, an option granted to the reporting person on December 21, 2000. In exchange, the reporting person will receive a replacement option on May 28, 2002. 9

SEC 1474 (7-97)

ential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHY

Form 5 obligations may continue. subject to Section 16. Form 4 or Check this box if no longer

(Print or Type Responses) See Instruction 1(b).

r response 0.5

pires: September 30, 1998 nated average burden

OMB Number:

OMB APPROVAL

Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of M Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the

Rickey, David M Applia Applia	Iden Iden oer of n, if ?	Applied Micro Circuits Corp (AMCC) 3. I.R.S. Identification Number of Reporting Person, if an entity (Voluntary) 5. If Amendment, Date of Original (Month/Year) Table I - Non-Derivative Securiti action action Date (Instr. 3, 4 and 5) (Month/ (Instr. 8)	1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1, 1	98	Direct X Officer X Officer COB and CEO	erson(s) to	10% Owner Other
Drive (First) (Middle) 3 92121 (Street) 35-3462 FAX: 858-535-3502 (Siate) (Zip)	Iden of it is it i	4. Securities Acquior Derivative S On Date of Origin (Month/Year) Non-Derivative S 4. Securities Acquior Disposed of (Instr. 3, 4 and 5)	t, al	7 88	and CEO		U% Owner Other
92121 (Street) (State) (State) (Zip)	n, if an if an it ary	4. Securities Acquior Disposed of (Instr. 3, 4 and 5	t,	COB	and CEO		Juner
(Street) 35-3462 FAX: 858-535-3502 (State) (Zip)	ntary	Votober 2001 5. If Amendmen Date of Origin (Month/Year) Von-Derivative S 4. Securities Acqui or Disposed of (Instr. 3, 4 and 5	t, al	ב כ			(specify below)
35-3462 FAX: 858-535-3502 (State) (Zip)	<u> </u>	5. If Amendmen Date of Origir (Month/Year) Von-Derivative S 4. Securities Acqui or Disposed of (Instr. 3, 4 and 5	t, al		LUKAIE		
(State) (Zip)	<u>6</u>	Von-Derivative S 4. Securities Acqui or Disposed of ((Instr. 3, 4 and 5)		7. Indiv	7. Individual or Joint/Group Filing (Check Applicable Line) X Form filed by One Reporting Person Form filed by More than One Reporting Person	Filing (Check sporting Personan One Repo	: Applicable Line) n rting Person
	ы. —	4. Securities Acqui or Disposed of () (Instr. 3, 4 and 5	ecurities Acqui	red, Dispos	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	lly Owned	,
the Colonia			red (A) 3)		Securities Beneficially Owned at	6. Owner- ship Form: Direct	7. Nature of Indirect Beneficial Owner-
(richin) Day/ Year)	Code	Amount	(A) or (D)	Price	(Instr. 3 and 4)	(D) or Indirect (I) (Instr A)	ship (Inefr 4)
Common Stock					175,2	Q	(± ::::::::)
Common Stock					953,805		by Family Trust
Common Stock 10/25/01	Q,	7,500	V V	\$13.18000		-	by Spouse
Common Stock 10/26/01	ď	85	- A	\$13.12000	7,585	-	by Spouse
							315
							1353
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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (28. puts, calls, warrants, options, convertible securities)

FORM 4 (continued)

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	of Indirect Beneficial Ownership	(Instr. 4)							
	10. Owner- 11. Nature ship of Indirect Derive Beneficative cial Security: Owner- Ship	(D) or Indirect (I)	(Instr. 4)						-
	F 4	Owned at End of	Month (Instr. 4)						_
	8. Price of of Derivative Security (Instr.	5).							_
		Amountor	Number of Shares						-
can new	7. Title and Amount of Underlying Securities (Instr. 3 and 4)		Title						
cprisms, convertable securities)	Date y/	Expira-							_
200	6. Date Exercisable and Expiration (Month/Da Year)	Date	Exer- cisable						
, de	Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		ê						
,	5. Number of Deriv ative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5		(A)				Ą		
	4. Trans- action Code (Instr. 8)		Code V						
	3. Irans- action Date (Month/ Day/ Year)	<u></u>							
	Sion or action Exercise Date Price of Date Derivative Day/							,	
1 Title of Derivative Commits.									

**Signature of Reporting Person

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations.

Explanation of Responses:

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

Page 2 SEC 1474 (7-97)

AUNITED STATES SECURITIES AND EXCHANGE COMMISSION

Washington, D.C. 20549

hours per response 0.5 Expires: September 30, 1998 3235-0287 Estimated average burden OMB APPROVAL OMB Number:

2011 VENEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Form 5 obligations may contil Check this box if no longer subject to Section 16. Form

(Print or Type Responses) See Instruction 1(b).

Filed pursuant of Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

	· · · · · · · · · · · · · · · · · · ·	2000	120(1) of the miscellicial Collingally Act of 124(14 ACT to 124 VI			
1. Name and Address of Reporting Posshar SECTION	2. Issuer	lame and Tic	. Issuer Name and Ticker or Trading Symbol	lod	6. Rela	6. Relationship of Reporting Person(s) to Issuer	g Person(s) to	Issuer
Rickey, David M	Applied	Micro Circ	Applied Micro Circuits Corp (AMCC)			Cneck al X Director	(Cneck all applicable)	10% Owner
(Last) (First) (Middle) 6290 Sequence Drive	3. I.R.S. Ic	I.R.S. Identification	4. Statement for	<u>_</u>		X Officer(give title below)		Other (specify halow)
San Diego, CA. 92121	Person,	number of Reporting Person, if an entity		100	CO	COB and ČEO		(abcol) ocion)
(Street)	(Voluntary)	ary)	September 2001	100		a cura i		
PHONE: 858-535-3462 FAX: 858-535-3502			5. If Amendment, Date of Original (Month/Year)	nt, inal)	7. Indi	7. Individual or Joint/Group Filing (Check Applicable Line) X. Form filed by One Reporting Person Form filed by More than One Reporting Person	p Filing (Chec ceporting Perso than One Repo	k Applicable Line) on orting Person
(City) (State) (Zip)		Table I -	Non-Derivative	Securities A	Acquired, Dispos	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	ally Owned	
1. Title of Security (Instr. 3)	, c	3. Trans- action	4. Securities Acquired (A) or Disposed of (D)	uired (A)		5. Amount of Securities	6. Owner- ship	7. Nature of Indirect
	Date (Month/	Code (Instr. 8)	(Instr. 3, 4 and 5)	6		Beneficially Owned at End of Month	Form: Direct	Beneficial Owner- shin
	Day/ Year)	Code V	Amount	(A) or (D)	Price	(Instr. 3 and 4)	(L) (I) (I) (I) (I) (I) (I) (I) (I) (I)	Just 4)
Common Stock						175,3	Q	
Common Stock	10/11/60	W	5,641	¥	\$2.95313		_	by Family Trust
Common Stock	10/11/60	M	21,025	¥	\$2.95313		I	by Family Trust
Common Stock	10/11/01	Æ	53,333	Ą	\$6.48438	314	_	by Family Trust
Соттоп Stock	10/81/60	r E	100,000	A	\$9.95000	9799	_	by Family Trust
Соттоп Stock	10/61/60	7€	100,000	V	\$8.93750	4	-	by Family Trust
Common Stock	09/24/01	7€	50,000	V	\$8.38750		_	by Family Trust
Соттоп Stock	09/25/01	7€	150,000	Ą	\$7.84330	ā	_	by Family Trust
Common Stock	10/97/60	7 E	50,000	Y	\$7.25000		I	by Family Trust
Common Stock	09/27/01	r E	200,000	V	\$6.44250	953,805		by Family Trust

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, sec Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 1 of 3 pages SEC 1474 (7-97)

FORM 4 (continued)

					•			(22					
1. Title of Derivative Security (Instr. 3)	2. Conver- 3. Transsion or action Exercise Date Price of Month/vative Day/Security Year)	3. Trans- action Date (Month/ Day/ Year)	4. Transaction action Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		6. Date Exercisable and Expiration Da (Month/Day/Year)	Date y/	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	10	8. Price of Derivative Security	1 = 2	10. Owner- 11. Nature ship of Form of Indirect Derive Beneficative cial Security: Owner- Ship	1. Nature of Indirect Beneficial Ownership
						Date	Expira-		Amount or	5)	Owned at End of	(D) or Indirect (I)	(Instr. 4)
			Code V	(Y)	(Q)	<u></u>	tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	
Incentive Stock Option (right to buy)	\$2.95313	10/11/60	Σ		5,641	(2)	03/27/08	Common Stock	5,641		19,746	Q	
Non-Qualified Stock Option (right to buy)	\$2.95313	09/11/01	M		21,025	3	03/27/08	03/27/08 Common Stock	21,025		73,587	a	
Non-Qualified Stock Option (right to buy)	\$6.48438	09/17/01	М		53,333	69	04/23/09	04/23/09 Common Stock	53,333		506,667	a	
Explanation of Responses:								7					

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

s/David M. Rickey

10/2/01

**Signature of Reporting Person

Page 2 SEC 1474 (7-97) Page 2 of 3 pages

PHONE: 858-535-3462 FAX: 858-535-3502 San Diego, CA. 92121 6290 Sequence Drive Rickey, David M

Acquisition of stock made in connection with the SEC Emergency Order Pursuant to Section 12 (K) (2) of the Exchange Act of 1934 (Release No. 44791) 3 5 3

Option vests in 48 equal monthly installments beginning on April 30, 1998.

Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

Check this box if no longer

Form 5 obligations may continue. subject to Section 16. Form 4 or

(Print or Type Responses)

See Instruction 1(b).

Washington, D.C. 20549 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHRE UNITED STATES SECURITIES AND EXCHANGE COMMISSÍON

hours per response 0.5

3235-0287

OMB Number:

RECLION

OMB APPROVAL

Expires: September 30, 1998

Estimated average burden

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of helpublic stiffing Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1935 or Section 30(f) or Section 30(f)

7. Individual or Joint/Group Filing (Check Applicable Line) by Family Trust by Family Trus by Family Trus (specify below) Beneficial Nature of Form filed by More than One Reporting Person Owner-(Instr. 4) 10% Owner Indirect ship 6. Relationship of Reporting Person(s) to Issuer Other X_Form filed by One Reporting Person Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned Instr. 4) (Check all applicable) Indirect Ownership Form: Direct (D) of Ω (give title below) 5,371 223,806 Chairman of the Board (Instr. 3 and 4) End of Month Beneficially Director 5. Amount of Securities Owned at \$2.95313 \$2.95313 \$6.48438 Price Applied Micro Circuits Corp & MMC (AMCC) (A) of (C) 4. Securities Acquired (A) or Disposed of (D) ⋖ < Date of Original (Month/Year) 2. Issuer Name and Ticker or Trading Symbol 5. If Amendment, (Instr. 3, 4 and 5) Statement for 8,463 31,538 80,000 Month/Year July 2001 Amount Number of Reporting 3. I.R.S. Identification > (Instr. 8) Person, if an entity (Voluntary) action 3. Trans-Code Code Σ Σ Σ (Month/ Day/ Year) Transaction 07/13/01 07/13/01 07/13/01 Date (Middle) (Zip) PHONE: 858-535-3462 FAX: 858-535-3502 1. Name and Address of Reporting Person' (Street) (First) (State) San Diego, CA. 92121 (Last) 6290 Sequence Drive Rickey, David M. 1. Title of Security Common Stock Common Stock Common Stock Common Stock (Instr. 3) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 1 of 3 pages SEC 1474 (7-97)

FORM 4 (continued)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

1 Title of Derivative Committee	,	f c		ſ		Γ								
	sion or Exercise Price of Deri- vative Security	action Date (Month/ Day/ Year)	4. Hans- action Code (Instr. 8)	8	3. Number of Denvative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		6. Date Exer- cisable and Expiration Da (Month/Day/ Year)	. Date Exer- cisable and Expiration Date (Month/Day/ Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	of tries	8. Price of Denivative Security (Instr.	Ŀ. '.	Ship of Form of In. Nature ship of Form of Indirect Derive cial Security: Owner-Direct ship	1. Nature of Indirect Benefi- cial Owner-
							Date	Expira-	·	Amount or	. 53	Owned at End of	(D) or Indirect (I)	(Instr. 4)
			Code	>	(€)	(Q)	ည	tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	
Incentive Stock Option (right to buy)	\$2.95313	07/13/01	M			8,463	ε	03/27/08	03/27/08 Common Stock	8,463		25,387	۵	
Non-Qualified Stock Option (right to buy)	\$2.95313	07/13/01	M			31,538	ε	03/27/08	03/27/08 Common Stock	31,538		94,612	Q	
Non-Qualified Stock Option (right to buy)	\$6.48438	10/01/10	М			80,000	(2)	04/23/09	04/23/09 Common Stock	80,000		260,000	Q	
Non-Qualified Stock Option (right to buy)	- 1	\$14.62000 07/11/01	V	>	400,000		(3)	07/11/11	07/11/11 Common Stock	400,000		400,000	Q	
	,													
Explanation of Poerconege.														

Explanation of Responses:

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

s/David M. Rickey
**Signature of Reporting Person

8/9/2001 On Date Page 2 of 3 pages Page

SEC 1474 (7-97)

6290 Sequence Drive Rickey, David M.

- San Diego, CA. 92121 PHONE: 858-535-3462 FAX: 858-535-3502
- Option vests in 48 equal monthly installments beginning on April 30, 1998.
- Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
 - Option vests in 48 monthly installments beginning on July 11, 2001
- 3 6 3

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB Number: 3235-0287

CMB Number: 3235-0287

Expires: September 30, 1998

Estimated average burden hours per response 0.5

Washington, D.C. 20349 STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue.

See Instruction 1(b).
(Print or Type Responses)

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

1. Name and Address of Reporting Person*	2. Issuer	Vame and Ticl	2. Issuer Name and Ticker or Trading Symbol	loc	6. Rel	6. Relationship of Reporting Person(s) to Issuer	g Person(s) to	Issuer
Rickey, David M.	Applied	l Micro Circo	Applied Micro Circuits Corp & MMC (AMCC)	(AMCC)		Chieck all X Director	(Cireck all applicable)	10% Owner
(Last) (First) (Middle) 6290 Sequence Drive	3. I.R.S. I	3. I.R.S. Identification	4. Statement for	1		X Officer (give title below)		Other (specify helow)
	Person,	Person, if an entity			- Pres	President and CEO		محرية مداهم)
] (Street)	(voluntary)	tary)	100			nunca ann an ann		
PHONE: 858-535-3462 FAX: 858-535-3502			5. If Amendment, Date of Original (Month/Year)	nt, nal)	7. Indi	7. Individual or Joint/Group Filing (Check Applicable I X. Form filed by One Reporting Person Form filed by More than One Reporting Person		(Check Applicable Line) Person Reporting Person
(City) (State) (Zip)		Table I -	Non-Derivative	Securities A	cquired, Dispo	Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned	ally Owned)
1. Title of Security (Instr. 3)	2. Trans- action Date	3. Trans- action Code	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)	(D)		5. Amount of Securities Beneficially	6. Owner- ship Form:	7. Nature of Indirect Beneficial
	(Month/	(Instr. 8)				Owned at End of Month	Direct	Owner-
	Day/ Year)	Code	Amount	(A) or (D)	Price	(Instr. 3 and 4)	Indirect (I) (Instr. 4)	(Instr 4)
Common Stock						12,371	Q	
Common Stock	04/02/01	M	5,642	Ą	\$2.95313		-	by Family Trust
Common Stock	04/02/01	×	21,025	V	\$2.95313		-	by Family Trust
Common Stock	04/02/01	×	53,333	V V	\$6.48438	101,329	-	by Family Trust
						The state of the s	8K)	
						SECTIVED	IVED CISVI	3
						AMY 0	8 2001	1409
							13/1/29	145

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v) Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Page 1 of 3 pages SEC 1474 (7-97)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

FORM 4 (continued)

commiss)		7 Title and Amount of
Toron for the later		6. Date Eyer-
J. (Number of Deriv-
	F	4. I rans-
	2 T.	S. Mans-
	7 00000	4. COIIVEI-
		arry.

1 Title of Derivative County.	5												
(Instr. 3)	Sion or action Exercise Date Price of Deri- Oberi- Vative Day Vative Day Vative Day Vative Day Security Year		4. Irans- action Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	L	6. Date Exer- cisable and Expiration D (Month/Day/ Year)	Date y/	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	6	8. Price of Derivative Security	L 1	10. Owner- 11. Nature ship form of Indirect Derive seemity: Owner- Obner- Seeurity: Owner- Ship	1. Nature of Indirect Beneficial Ownership
							Expira-		A mount or	. છે	Owned at End of	(D) or Indirect (I)	(Instr. 4)
			Code V	(A)	ê	Exer- cisable	tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	
Incentive Stock Option (right to buy)	\$2.95313	04/02/01	M		5,642	€	03/27/08	03/27/08 Common Stock	5,642		33,850	Q	
Non-Qualified Stock Option (right to buy)	\$2.95313	04/02/01	M		21,025	€	03/27/08	03/27/08 Common Stock	21,025		126,150	٩	
Non-Qualified Stock Option (right to buy)	\$6.48438	04/02/01	M		53,333	(2)	04/23/09 (04/23/09 Common Stock	53,333		640,000	Q	
3.5						ļ <u></u>							
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						<u> </u>							
Explanation of Responses:										1			

Explanation of Responses:

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

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required to respond unless the form displays a currently valid OMB Number.

**Signature of Reporting Person

Page 2 of 3 pages

SEC 1474 (7-97)

Rickey, David M. *6290 Sequence Drive San Diego, CA. 92121 PHONE: 858-535-3462 FAX: 858-535-3502

- Option vests in 48 equal monthly installments beginning on April 30, 1998. Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter. € €

/ 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue.

(Print or Type Responses)

See Instruction 1(b).

UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility

hours per response 0.5

Estimated average burden

Expires: September 30, 1998

3235-0287

OMB Number:

OMB APPROVAL

Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

7. Individual or Joint/Group Filing (Check Applicable Line) by Fahmy arms (specify below) Beneficial Nature of Form filed by More than One Reporting Person (Instr. 4) 10% Owner Indirect Owner-6. Relationship of Reporting Person(s) to Issuer (Check all applicable) Other X Form filed by One Reporting Person Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Instr. 4) (D) or Indirect Owner-Direct ship Form: Ω **A** (give title below) Chairman of the Board 12,371 21,329 (Instr. 3 and 4) End of Month President and CEO Beneficially Director Officer Amount of Securities Owned at \$2.95313 \$70.21030 \$2.95313 \$70.21030 \$70.21030 \$6.48438 \$70.21030 Price Applied Micro Circuits Corp & MMC (AMCC) (A) Of p (C) 4. Securities Acquired (A) or Disposed of (D) ⋖ ⋖ < Date of Original (Month/Year) 2. Issuer Name and Ticker or Trading Symbol February 2001 5. If Amendment, (Instr. 3, 4 and 5) 4. Statement for 2,820 2,820 10,512 10,512 Month/Year 26,667 26,667 13,000 35 Amount Number of Reporting 3. I.R.S. Identification > > (Instr. 8) Person, if an entity action Trans-Code Code Σ S Σ S Z (Voluntary) S Ç S action Trans-(Month/ 02/01/01 02/01/01 02/01/01 02/01/01 02/01/01 02/01/01 07/0/70 02/01/01 Date Year) Day/ (Middle) (Zip) 11.40 U 9 2001 PECENTED. 1. Name and Address of Reporting Person* 359 (Street) (State) (First) San Diego, CA. 92121 6290 Sequence Drive Rickey, David M. Title of Security Common Stock (Instr. 3) (City) (Last)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over) Page 1 of 3 pages SEC 1474 (7-97)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

9 5.1 J.	4		Т	Т	I	T	 T	T	T	T	T
II. Nature of Indirect Benefi- cial Owner- ship											
10. Ownership Ship Form of Derivative Security: Direct	(D) or Indirect (I)	(Instr. 4)	D	Q	Q						
9. Number of derivative Securities Beneficially	Owned at End of	Month (Instr. 4)	39,492	147,175	693,333						
8. Price of Denvariation Security (Instr.	જ										
t of ities	Amount or	Number of Shares	2,820	10,512	26,667						
7. Title and Amount of Underlying Securities (Instr. 3 and 4)		Title	03/27/08 Common Stock	03/27/08 Common Stock	04/23/09 Common Stock						
Date Exercisable and Expiration Date (Month/Day/Year)	Expira-	tion Date	03/27/08	03/27/08	04/23/09						
6. Date Exercisable and Expiration Da (Month/Day/Year)	Date	Exer- cisable	(3)	(1)	9						
Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		(D)	2,820	10,512	26,667						
5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)		(A)									
Trans- action Code (Instr. 8)		Λ									
4. Transaction action Code (Instr.		Code	M	Σ	Σ						
3. Trans- action Date (Month/ Day/ Year)			02/01/01	02/01/01	\$6.48438 02/01/01						
2. Conversion or Exercise Price of Derivative Security			\$2.95313	\$2.95313	\$6.48438						
(Instr. 3)			Incentive Stock Option (right to buy)	Non-Qualified Stock Option (right to buy)	Non-Qualified Stock Option (right to buy)						

Explanation of Responses:

See continuation page(s) for footnotes

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**Signature of Reporting/Person

Date

Page 2 of 3 pages

SEC 1474 (7-97)

- Option vests in 48 equal monthly installments beginning on April 30, 1998. € €
- Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.

FORM 4 Check this box if no longer

subject to Section 16. Form 4 or Form 5 obligations may continue.

(Print or Type Responses)

See Instruction I(b).

Washington, D.C. 20549

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

OMB Number: 3235-0287
Expires: September 30, 1998
Estimated average burden
hours per response......0.5

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STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

7. Individual or Joint/Group Filing (Check Applicable Line) by Family Trus (specify below) 334590 Beneficial Nature of 31 Form filed by More than One Reporting Person (Instr. 4) 10% Owner Indirect Ownership 6. Relationship of Reporting Person(s) to Issuer X Form filed by One Reporting Person Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Instr. 4) (Check all applicable) (D) or Indirect Оwnership Form: Direct Ω Ω 0 a 6 (give title below) 26,016 21,329 Chairman of the Board Owned at End of Month (Instr. 3 and 4) Director President and CEO Beneficially Officer Amount of Securities \$80,12500 \$2.95313 \$6.48438 \$80.12500 \$2.95315 \$80.12500 Price -CEIVED Applied Micro Circuits Corp & MMC (AMCC) 4. Securities Acquired (A) (A) or (D) ₹ ∢ Ω ∢ Date of Original (Month/Year) or Disposed of (D) 2. Issuer Name and Ticker or Trading Symbol If Amendment (Instr. 3, 4 and 5) January 2001 4. Statement for 21,025 21,025 53,333 Month/Year 200 53,333 22,000 92,642 2,821 Amount Number of Reporting 3. I.R.S. Identification > > > Person, if an entity (Instr. 8) action Trans-Code Code Z G Σ (Voluntary) S S Ö S Z . Trans-(Month/ action 11/30/00 01/18/01 01/18/01 01/18/01 07/18/01 10/81/10 01/08/01 01/18/0] Date Day/ Year) (Middle) (Zip) 1. Name and Address of Reporting Person* (Street) (State) (First) 6290 Sequence Drive San Diego, CA. 92121 Rickey, David M. 1. Title of Security Common Stock (Instr. 3) (Last) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

(Over)
Page 1 of 3 pages SEC 1474 (7-97)

FORM 4 (continued)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned (e.g. puts, calls, warrants, options, convertible securities)

Title of Doringing Committee	,								1				
(Instr. 3)	Sion or action Exercise Date Price of Deri- Ovative Day/ Security Year)	3. Irans- action Date (Month/ Day/ Year)	4. Irans- action Code (Instr. 8)	vi	Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration D (Month/Day/ Year)	Date Jy/	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	ν.	8. Price of Derivative Security	H 1	10. Owner- 11. Nature ship of Derive Derive cial Security: Owner- Direct ship	1. Nature of Indirect Beneficial Ownership
						Date	Exnira-		A montation	5	Owned at End of	(D) or Indirect (I)	(Instr. 4)
			Code V	€	ê	ပ	tion Date	Title	Number of Shares		Month (Instr. 4)	(Instr. 4)	
Incentive Stock Option (right to buy)	\$2.95313	01/08/01	M		2,821	Θ	03/27/08	03/27/08 Common Stock	2,821		42,312	a	
Non-Qualified Stock Option (right to buy)	\$2.95313	01/18/01	M		21,025	ε	03/27/08	03/27/08 Common Stock	21,025		157,687	Q	
Non-Qualified Stock Option (right to buy)	\$6.48438	01/18/01	M		53,333	3	04/23/09 (04/23/09 Common Stock	53,333		720,000	D	
·		-											
Explanation of Responses:							1						

Explanation of Responses:

See continuation page(s) for footnotes

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a). Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, see Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB Number.

Com har

**Signature of Reporting Person

Date

Page 2 of 3 pages

SEC 1474 (7-97)

1

- Option vests in 48 equal monthly installments beginning on April 30, 1998.
- Option vests as to 25% of the shares on March 31, 2000 and 1/48 per month thereafter.
- The end of month holdings include 367 shares acquired under the AMCC 1998 Employee Stock Purchase Plan in January 2001.

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UNITED STATES SECURITIES AND EXCHANGE COMMISSION,

Washington, D.C. 20549

JAN 0 9 2001 Expires: September 30, 1998

Form 5 obligations may continue.

See Instruction 1(b).

subject to Section 16. Form 4 or Check this box if no longer

Extimated average burden

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L	Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

31293788 7. Individual or Joint/Group Filing (Check Applicable Line) by Family Trus (specify below) Beneficial Nature of Form filed by More than One Reporting Person (Instr. 4) 10% Owner Indirect Owner-6. Relationship of Reporting Person(s) to Issuer (Check all applicable) Other X Form filed by One Reporting Person Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned (Instr. 4) (D) or Indirect 6. Ownership Form: Direct Ω (give title below) Chairman of the Board 140,858 18,141 (Instr. 3 and 4) End of Month Beneficially Director Officer Amount of Securities Owned at \$2.95313 Price <u>ر.</u> ز (A) or (D) or 4. Securities Acquired (A) Applied Micro Circuits Corporation (AMCC) ≺ December 2000 Date of Original (Month/Year) or Disposed of (D) (Instr. 3, 4 and 5) 2. Issuer Name and Ticker or Trading Symbol 5. If Amendment, 4. Statement for Month/Year 2,821 Amount Number of Reporting 3. I.R.S. Identification > Person, if an entity (Instr. 8) action 3. Trans-Code Code Σ Voluntary) action 12/12/00 (Month/ Date Day/ Year) (Middle) (Zip) 1. Name and Address of Reporting Person* (Street) (State) (Print or Type Responses) 6290 Sequence Drive San Diego, CA. 92121 Rickey, David M. 1. Title of Security Common Stock Common Stock (Instr. 3) (Last) (City)

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v). Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

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Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned

(ag. puts, calls, warrants, options, convertible securities)

Explanation of Responses:

See continuation page(s) for footnotes

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**Signature of Reporting Person

Page 2 of 3 pages

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Option vests in 48 equal monthly installments beginning on April 30, 1998. Option vests in 48 monthly installments beginning on December 21, 2000.

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(Over)

FORM 4

Check this box if no longer subject to Section 16. Form 4 or Form 5 obligations may continue. See Instruction 1(b).

RECUR SECUR

U.S. SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(f) of the Investment Company Act of 1940

eck all applicable) X	1. Name and Address of Reporting Person	2. Issuer l	Name and T	icker or	2. Issuer Name and Ticker or Trading Symbol		9 9	6. Relationship of Reporting Person(s) to Issuer	ng Person(s) to Is	ssuer
First Widdle 3. IRS or Social Scentry A Statement for Number of Reporting Month/Vear Person (Voluntary) S. If Amendment Date of Original August 2002 S. Amount of Configural August 2002	Baker/Tisch Capital (GP), LLC (1)		Incyte Geno	omics, In	1c. ("INCY")			(Check	applicable)	
1. 18. or Social Security 4. Statement for month Year 10021 Person (Voluntary) Statement for month Year 10021 Person (Month Year) Statement for month for mont	:						<u> </u>	Director (2)	10% Owner (3	_
State State State Cap	(First) 655 Madison Avenue	3. IRS or Numb Person	Social Secuer of Report		U 4			Current (give title below)	Other (specify below)	
ity) (State) (Zip) Table I — Non-Derivative Sccurtities Acquired, Disposed of, or Beneficially Owned action action action action (Month) (Instr. 3) Date Code (Instr. 3, 4 and 5) Day/ Year) Saminis Bene-From: ficially Owned (D) Year) Saminis Bene-From: ficially Owned (D) Nonth (Instr. 3) A Scourties Bene-From: ficially Owned (D) or Disposed of (D) Month (Instr. 3) A Scourties Bene-From: ficially Owned (D) or Disposed of (D) Month (Instr. 4) Saminis Bene-From: ficially Owned (D) or Disposed of (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) or Disposed of (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) or Disposed of (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) or Disposed of (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) or Disposed of (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) or Disposed of (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) or Disposed of (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) or Disposed of (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) Nonth (Instr. 5) Saminis Bene-From: ficially Owned (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) Nonth (Instr. 4) Saminis Bene-From: ficially Owned (D) Saminis Bene-From: fic	(Street) New York					al	7. 1	ndividual or Joint/Grou Form filed by One R	p Filing (Check A keporting Person than One Report	pplicable Line)
1. 1. 1. 1. 1. 1. 1. 1.	(State)			rable I-	- Non-Derivativ	e Securities	Acquired, Disp	osed of, or Beneficially	y Owned	
Year) Code V Amount (A) or (Instr. 3 and 4) Indirect (Instr. 3 and 4) Indirect (Instr. 3 and 4) Indirect (Instr. 4) 9, par value \$0.001 per share ("Common Stock") 8/6/02 P 3,123 A \$6.00 I 8/7/02 P 15,500 A \$5.96 I 8/8/02 P 14,900 A \$5.99 I 8/9/02 P 50 A \$5.75 179,008 I	1. Title of Security (Instr. 3)	2. Transaction action Date (Month/				ired (A) (D) 5)		Bene-	6. Ownership Form: Direct (D) or	7. Nature of Indirect Bene-Ficial
par value \$0.001 per share ("Common Stock") 8/6/02 P 3,123 A \$6.00 I 8/7/02 P 15,500 A \$5.96 I 8/8/02 P 14,900 A \$5.99 I 8/9/02 P 50 A \$5.75 179,008 I		Year)	Code	>	Amount	(A) or (D)	Price	(Instr. 3 and 4)	Indirect (I) (Instr 4)	Owner- ship (Instr. 4)
8/7/02 P 15,500 A \$5.96 I 8/8/02 P 14,900 A \$5.99 I 8/9/02 P 50 A \$5.75 179,008 I	Common Stock, par value \$0.001 per share ("Common Stock")	8/6/02	D.		3,123	A	\$6.00		I I	(4)
8/8/02 P 14,900 A \$5.99 179,008 1 S 8/9/02 P 50 A \$5.75 179,008 1	Common Stock	8/7/02	۵	-	15,500	A	\$5.96			(4)
8/9/02 P 50 A \$5.75 179,008 I	Common Stock	8/8/02	d		14,900	A	\$5.99		_	(4)
	Сопитоп Stock	8/9/02	a.		80	A	\$5.75	179,008	_	(4)
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Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly. *If the form is filed by more than one reporting person, see Instruction 4(b)(v).